

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application Carolyn R. Aita et al.

Examiner: Unknown

For: SELF-REPAIRING CERAMIC COATINGS

Group Art Unit: 1775

Serial No.: 09/375,169

Filed: August 16, 1999

TRANSMITTAL

Docket No.: 26767-1000



The Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

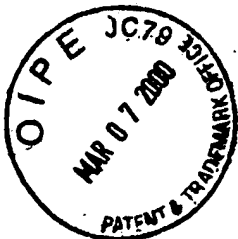
1. Transmitted herewith for filing in the above-identified patent application is:
    - ☐ Information Disclosure Statement
    - ☒ Return Receipt Postcard
    - ☒ Other; Specify: Request for Corrected Filing Receipt w/copy of executed Declaration and Power of Attorney
  2. ☐ Applicant is a small entity applicant entitled to a 50% reduction in claim fee.
    - ☐ Verified statement previously filed
    - ☐ Verified statement attached
  3. ☐ Applicant hereby petitions for an Extension of Time of \_\_\_\_, pursuant to Rule 1.136(a). Fee required \$\_\_\_\_\_ \$N/A
  4. ☒ Other fees: Specify: Correction of Filing Receipt .....\$25.00
- Total Fees Due.....\$25.00
5. Payment of Fees
    - ☒ A check in the amount of \$25.00 enclosed.
  6. ☐ Charge Deposit Account No. 08-1641 in the amount of \$\_\_\_\_\_. A duplicate sheet is attached. Please reference Docket No. \_\_\_\_\_.
  7. ☒ The Commissioner is hereby authorized to charge any additional fees (or credit any overpayment) associated with this communication and which may be required under 37 CFR §1.16 or § 1.17 to Account No. 08-1641. A duplicate sheet is attached. Please reference Docket No. 26767-1000.

By: Soodabeh Tronson

Soodabeh Tronson  
Reg. No. 41,354

## CERTIFICATE OF MAILING PURSUANT TO 37 CFR 1.8

I hereby certify that this paper is being deposited in the United States mail as first class mail with postage prepaid, and is addressed to: The Assistant Commissioner for Patents, U.S. Patent and Trademark Office, Washington D.C. 20231, on February 29, 2000 in Palo Alto, California. By: Mari Grijndam



Sector 18

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of Carolyn R. Aita et al. ) Examiner: Unknown  
For: **SELF-REPAIRING CERAMIC COATINGS** ) Group Art Unit: 1775  
Serial No.: 09/375,169 )  
Filed: August 16, 1999 )  
Docket No.: 26767-1000 )

TRANSMITTAL FOR SUBMISSION OF MISSING PARTS OF APPLICATION

The Assistant Commissioner for Patents  
Washington, D.C. 20231  
**Attention: Box Missing Parts**

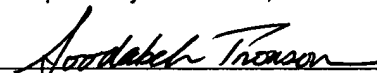
Dear Sir:

In response to the Notice to File Missing Parts of Application - *Filing Date Granted*  
mailed September 3, 1999, transmitted herewith are as follows:

1. Declaration and Power of Attorney
2. Copy of the Notice to File Missing Parts of Application - *Filing Date Granted* (Part 2)
3. Verified Statement Claiming Small Entity Status
4. Check in the amount of \$1,090
5. Return Receipt Postcard

	Number of Claims Filed	Number of Extra Claims	Rate	Filing Fee \$345
Total Claims	30 - 30 =	0	x 9 =	\$-0-
Independent Claims	6 - 6 =	0	x 39 =	\$-0-
Surcharge				\$65
Extension of Time Fee				\$680
Total Fee(s)				<u>\$1,090</u>

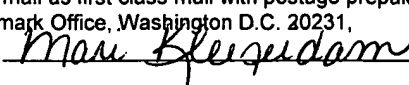
Respectfully submitted,

  
Soodabeh Tronson  
Registration No. 41,354  
Attorney for Applicants

The Commissioner is hereby authorized to charge any additional fees, or credit any overpayment associated with this communication, required under 37 C.F.R. § 1.16 or § 1.17 to Deposit Account No. 06-1641, referencing Docket No. 26767-1000. This paper is being submitted in duplicate.

Heller Ehrman White & McAuliffe LLP  
525 University Avenue  
Palo Alto, CA 94301-1900  
Telephone: (650) 324-7000  
Direct Dial: (650) 324-7068  
Facsimile: (650) 324-0638

CERTIFICATE OF MAILING PURSUANT TO 37 CFR 1.8

I hereby certify that this paper is being deposited in the United States mail as first class mail with postage prepaid, and is addressed to: The Assistant Commissioner for Patents, U.S. Patent and Trademark Office, Washington D.C. 20231, on February 29, 2000 in Palo Alto, California. By:   
209874 v01.PA (4HX%01.DOC)

In re the Application of Carolyn R Aita, et al.  
Serial No.: 09/375,169  
Filed: August 16, 1999  
For: SELF-REPAIRING CERAMIC COATINGS  
Docket No.: 26767-1000



#5

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As below named inventors we hereby declare that we are qualified as independent inventors as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under §41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled SELF-REPAIRING CERAMIC COATINGS described in

- [ ] the specification filed herewith  
[ X ] application serial no. 09/375,169, filed August 16, 1999  
[ ] patent no. \_\_\_\_\_, issued \_\_\_\_\_

We have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which we have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NONPROFIT  
[ ] CONTINUED ON APPENDIX A, ATTACHED HERETO.

We acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

We hereby declare that all statements made herein of my own knowledge are true and that all statements made herein on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

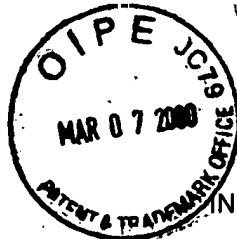
NAME OF FIRST AND JOINT INVENTOR Carolyn R. Aita  
ADDRESS 4067 North Farwell Avenue, Shorewood, WI 53211  
EXECUTED ON \_\_\_\_\_  
SIGNATURE Carolyn R. Aita DATE 2/6/00

NAME OF SECOND AND JOINT INVENTOR Vladislav V. Yakovlev  
ADDRESS 3995 North Murray Avenue, Apt. 601, Milwaukee, WI 53211  
EXECUTED ON \_\_\_\_\_  
SIGNATURE V. Yakovlev DATE 2/6/00

NAME OF THIRD AND JOINT INVENTOR Mary M. Caton (CATON)  
ADDRESS North 124 W16862 Lover's Lane, Germantown, WI 53022  
EXECUTED ON \_\_\_\_\_  
SIGNATURE Mary M. Caton DATE 2/6/00

NAME OF FOURTH AND JOINT INVENTOR Mahmood Mirhoseini  
ADDRESS North 124 W16862 Lover's Lane, Germantown, WI 53022  
EXECUTED ON \_\_\_\_\_  
SIGNATURE M. Mirhoseini DATE 2-6-00

NAME OF FIFTH AND JOINT INVENTOR Michael Aita  
ADDRESS 4067 North Farwell Avenue, Shorewood, WI 53211  
EXECUTED ON \_\_\_\_\_  
SIGNATURE Michael Aita DATE 2/6/00



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of Carolyn R. Aita et al.

Examiner: Unknown

For: **SELF-REPAIRING CERAMIC  
COATINGS**

Group Art Unit: 1775

Serial No.: 09/375,169

Filed: August 16, 1999

Docket No.: 26767-1000

REQUEST FOR CORRECTION OF FILING RECEIPT

The Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Attached is a copy of the official Filing Receipt received from the US Patent and Trademark Office in the above-identified application. Applicants hereby request issuance of a corrected Filing Receipt.

Please correct the following errors.

Change Attorney Docket No. "91604-4030" to --26767-1000--.

After "CAROLYN AITA, SHOREWOOD, WI", add the names of the following inventors  
--VLADISLAV V. YAKOVLEV, MILWAUKEE, WI; MARY M. CAYTON, GERMANTOWN, WI; MAHMOOD  
MIRHOSEINI, GERMANTOWN, WI and MICHAEL AITA, SHOREWOOD, WI.--

Applicants have attached a copy of the executed Declaration and Power of Attorney that is being submitted concurrently with this request, listing all the named inventors.

Applicants hereby enclose the fee for correction. Please charge any deficiencies to our Deposit Account No. 08-1641.

Respectfully submitted,

Soodabeh Tronson  
Registration No. 41,354  
Attorney for Applicants

Heller Ehrman White & McAuliffe LLP  
525 University Avenue  
Palo Alto, California 94301-1900  
Tel.: (650) 324-7000  
Direct Dial: (650) 324-7068  
Facsimile : (650) 324-0638

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/375,169	08/16/99	1775	\$0.00	91604-4030	1	30	6

EDWARD J LYNCH  
HELLER EHRMAN WHITE & MCAULIFFE  
525 UNIVERSITY AVENUE  
PALO ALTO CA 94301-1900

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) CAROLYN AITA, SHOREWOOD, WI.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 08/31/99

TITLE  
SELF-REPAIRING CERAMIC COATINGS

PRELIMINARY CLASS: 428

HEWM-SILICON VALLEY  
PATENT DOCKETING

SEP 10 1999

DATABASE ENTRY

BY: \_\_\_\_\_

DATA ENTRY BY: PERRY, REGINA

TEAM: 02 DATE: 08/31/99

(See reverse for new important information)

**LICENSE FOR FOREIGN FILING**  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "FOREIGN FILING LICENSE GRANTED" followed by a date appears on the reverse side of this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.11. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR Parts 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "FOREIGN FILING LICENSE GRANTED" DOES NOT appear on the reverse side of this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE ---- The Following Information about the Filing Receipt:**

The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.

The words "new," "improved," "improvement," "improvements in or relating to" are not included as the first words in the title of an application because a patent application is, by nature, a new idea or improvement.

The title may be truncated if it consists of more than 4 lines of 70 characters each (letters and spaces combined).

The inventor information may be truncated if the family name consists of more than 25 characters (letters and spaces combined) and if the given name consists of more than 25 characters (letters and spaces combined). The inventor's residence allows for up to 40 characters (letters and spaces combined).

The docket number allows a maximum of 12 characters.

If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Customer Address may have been modified to conform to U.S. Postal rules.

Please direct correction, including a copy of your Filing Receipt, to:  
Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
--------------------	---------------------	-----------------------	---------------------------

09/375,169      09/03/99      ARIA      C      91604-4030

EDWARD J. LYNCH  
HELLER EHRMAN WHITE & MCMAULIFFE  
525 UNIVERSITY AVENUE  
PALO ALTO CA 94301-1900

NOT ASSIGNED

1775

DATE MAILED:

09/03/99

### NOTICE TO FILE MISSING PARTS OF APPLICATION

*Filing Date Granted*

## BEST AVAILABLE COPY

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☐ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

*If all required items on this form are filed within the period set above, the total amount owed by applicant as a*  
☐ small entity (statement filed) ☒ non-small entity is \$ 1304.00.

☒ 1. The statutory basic filing fee is:

- ☒ missing.  
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 180.00 for 10 total claims over 20.

\$ 234.00 for 3 independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

*Begina Fields*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

03/09/2000 HEBE 00000054 001641 09375169  
01 FC:205 65.00 OP  
02 FC:201 35.00 CH 345.00 OP